

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

This Information Disclosure Statement accompanies the new patent application submitted herewith of the following Inventors:  
Ping ZHOU; Derek Cecil COLE; Michael Gerard KELLY; and William Joseph LENNOX;

For: HETEROCYCLYLINDAZOLE AND -AZAINDAZOLE COMPOUNDS AS  
5-HYDROXYTRYPTAMINE-6 LIGANDS

1. Preliminary Statements

In accordance with 37 CFR 1.97 and 1.98, Applicants submit herewith patents, publications, or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56. This Information Disclosure Statement is not to be construed as a representation that: (i) a search has been made; (ii) the information is material to the examination of this application; (iii) additional information material to the examination of this application does not exist; (iv) the information, protocols, results and the like reported by third parties are accurate or enabling; or (v) the information constitutes prior art to the subject invention.

2. ☒ Previously Cited Information

No copy of the patents, publications or other information cited on the attached form PTO-1449 is enclosed because it has been previously cited by or submitted to the Office in a prior application which is relied upon for an earlier filing date under 35 USC 120. Prior application is Application Number 10/028,168 filed on December 20, 2001 of Ping ZHOU et al. for HETEROCYCLYLINDAZOLE AND -AZAINDAZOLE COMPOUNDS AS 5-HYDROXYTRYPTAMINE-6 LIGANDS.

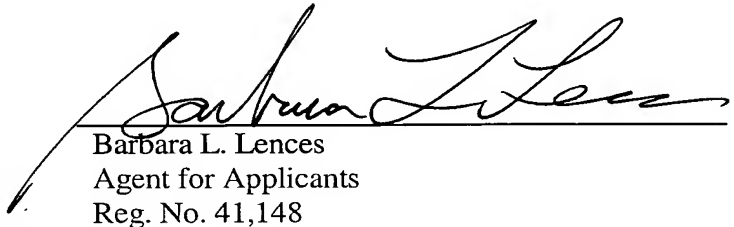
**CERTIFICATE OF MAILING 37 CFR §1.10**

I hereby certify that this paper and the documents referred to as enclosed therein are being deposited with the United States Postal Service on the date written below in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EV243963435US addressed to the Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

October 23, 2003  
Date

Carole K. Kamrad  
Carole K. Kamrad

3. ☐ Newly Cited Information  
A legible copy of the patents, publications or other information cited on the attached form PTO-1449 is enclosed, except that no copy of a pending U.S. application is enclosed.
4. ☐ Concise Explanation  
Documents cited above which are not in the English Language  
a. ☐ have been explained in the specification.  
b. ☐ have an abstract (or other concise explanation) in English enclosed or, if readily available, a translation into English of the document is enclosed.
5. Form PTO-1449 is enclosed in duplicate.
6. Customer Number 25291.



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Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>		
				Application Number		
				Filing Date		
				First Named Inventor		
				Group Art Unit		
Examiner Name				Ping ZHOU et al.		
Sheet		1	of	1	Attorney Docket Number	
				AM100184-D1		

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number (If known)	Kind Code (If Known)			
	1.	6191141	B1	NPS Allelix Corporation	02-20-2001	
	2.	6133287		Allelix Biopharmaceuticals Inc.	10-17-2000	
	3.	6066637		American Home Products Corporation	05-23-200	
	4.	6143744		Syntex (USA) Inc., Agouron Pharmaceuticals, Inc.	11-07-2000	
	5.	5409941		Pfizer, Inc.	04-25-1995	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code (If Known)				
	6.	PCT	WO 99/65906	A1	Allelix Biopharmaceuticals Inc.	12-23-1999		<input type="checkbox"/>
	7.	PCT	WO 98/23587	A	Allelix Biopharmaceuticals Inc.	06-04-1998		<input type="checkbox"/>
	8.	PCT	WO 00/63203	A	Allelix Biopharmaceuticals Inc.	10-26-2000		<input type="checkbox"/>

OTHER PRIOR ART — NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.		T
	9.	ZHENG, Q. et al., Palladium catalyzed cross-coupling reaction between 3-indole boronic acids and tetrahydropyridine triflates, Tetrahedron Letters, <u>1993</u> , Vol. 34(14), 2235-2238, Elsevier Science Publishers, Amsterdam, NL.		<input type="checkbox"/>
	10.	ZHENG, Q. et al., Vinylation of the indole 3-position via palladium-catalyzed cross-coupling, Heterocycles, <u>1994</u> , Vol. 37(3), 1761-1772.		<input type="checkbox"/>
	11.	SCHUT, R. N. et al., 2-Tetrahydropyridylindoles as histamine and serotonin antagonists, Journal of Medicinal Chemistry, <u>1970</u> , Vol. 13(3), 394-397.		<input type="checkbox"/>
	12.	BUSACCA, C. A., et al., A facile synthesis of 4-Aryl-2,3-Dihydropyrroles, Tetrahedron Letters, <u>1996</u> , Vol. 37(23), 3947-3950, Elsevier Science Publishers, Amsterdam, NL.		<input type="checkbox"/>
	13.	SLEIGHT, et al., The 5-hydroxytryptamine-6 receptor: localisation and function, Expert Opinion on Therapeutic Patents. 1998, Vol. 8(10), 1217-1224, Ashley Publications, GB.		<input type="checkbox"/>

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.